



Department of Professional Licensing

Records Retention Schedule

Prepared by the State Records Branch
Archives and Records Management Division
Approved by the State Libraries, Archives, and Records Commission



Kentucky Department for Libraries and Archives

This records retention schedule governs retention and disposal of records created, used, and maintained by this agency. **Government records in Kentucky can only be disposed of with the approval of the State Libraries, Archives, and Records Commission (the Commission). If records do not appear on a Commission-approved records retention schedule, agencies should not destroy those records.** This agency-specific schedule was drafted by agency personnel and Archives and Records Management Division staff and reviewed and approved by the Commission. This schedule provides the legal authority for this agency to destroy the records listed, after the appropriate retention periods have passed.

Agency personnel should use this agency-specific schedule in combination with the *General Schedule for State Agencies (General Schedule)*, also approved by the Commission. The *General Schedule* applies to records that are created, used, and maintained by staff at all or most state agencies. Agency-specific retention schedules are used only by specific agencies and apply to records that are created only by a particular state agency, or to records that a state agency is required to retain longer than the approved time period on the *General Schedule*. The *General Schedule* and agency-specific retention schedule should cover all records for this agency.

This retention schedule applies to state agency records and information regardless of how it is created or stored. For example, information created and sent using e-mail is as much a public record as materials created or maintained in paper. Kentucky law defines public records, in part, as "documentary materials, *regardless of physical form or characteristics*, which are prepared, owned, used, in the possession of or retained by a public agency" (KRS 171.410[1]). This means that records management standards and principles apply to all forms of recorded information, from creation to final disposition, regardless of the medium. Records retention scheduling is important in developing, using, and managing computer systems and other electronic devices. Records management practices encourage cost-effective use of electronic media through accurate retention scheduling and legal destruction of records.

All state government employees are responsible for maintaining records according to the retention schedule, whether those records are stored electronically or in paper. Information must be accessible to the appropriate parties until all legal, fiscal, and administrative retention periods are met, regardless of the records storage medium.

Audits and Legal Action

Agency records may be subject to fiscal, compliance or procedural audit. If an agency should maintain records longer than the approved retention period, as may be the case with some federal audits, then all affected records should be retained until the audit has been completed and the retention period met. In no case should records that are subject to audit be destroyed until the audit has been completed and retention periods met, or the records have been officially exempt from any audit requirements.

Records may also be involved in legal or investigative actions, such as lawsuits, administrative hearings, or open records matters. These records must be retained at least until all legal or investigative matters have concluded, regardless of retention period. This includes all appeals of lawsuits.

Vital Records

Vital records are essential to the continued functioning of an agency during and after an emergency. Vital records are also essential to the protection of the rights and interests of an

agency and of the individuals for whose rights and interests it has a responsibility. Vital records are identified in the retention schedule with a (V).

Confidential Records

While all records created, used, and maintained by government agency personnel are public records, not all of those records are open to public inspection. Whether a record is open to public inspection is determined by the state's Open Records laws and other relevant state or federal statutes and regulations. Restriction of public inspection of confidential records may apply to the whole record or only to certain information contained in the record.

Kentucky's public records are considered open for public inspection unless there is some specific law or regulation that exempts them. Agency personnel who believe certain records are confidential should submit a citation from Kentucky Revised Statutes, Administrative Regulations, Code of Federal Regulations, or similar authority. **State agency heads have the responsibility to know all the appropriate confidentiality laws, statutes and regulations that apply to the records maintained by their agency and to see that those laws are enforced.** Even though a record series may or may not be marked confidential on a retention schedule, contradictory laws or regulations that are passed after the schedule has been approved must be honored.

Copies of Records

Agency personnel often make copies of records for internal use or reference purposes. Agencies should designate one copy as the official copy and make sure it is retained according to the records retention schedule. Agencies can destroy all other copies when no longer useful.

Updating the Retention Schedule

Per 725 KAR 1:010, the head of each state government agency is required to designate a member of his or her staff to serve as a records officer. The agency records officer represents that agency in its records-related work with the Archives and Records Management Division. The agency records officer is responsible for assisting the Archives and Records Management Division in drafting a records retention schedule, and in finding any schedule updates to bring before the Commission. The retention schedule should be reviewed on a regular basis to suggest appropriate changes to the Commission.

Public Protection Cabinet
Department of Professional Licensing

The Kentucky Department of Professional Licensing provides administrative and fiscal management, technical support, and advice to regulatory board in the Commonwealth's system of occupational licensing. Licensure board are comprised of board members appointed by the Governor, generally for four years, with staggered terms. Boards range in size from four to nine members. All board members, except one, are required by law to be licensed in the occupation, or profession being regulated. One board member, by 1974 Act, is required to be a public member with no financial interest in the occupation, or profession being regulated. Board members are customarily appointed from lists submitted by professional associations. The purpose of the licensure boards is to license and regulate the statutorily designated occupations and professions, in order to protect the public health, safety, and welfare. To accomplish this, board have two primary areas of responsibility: licensure and enforcement. The licensure function deals with entry into the profession. In broad terms, the boards determine an individual's initial fitness and competency to practice an occupation, or profession. Generally, boards process applications for licensure, check qualifications against statutory requirements, administer licensing examinations and issue and renew licenses. The enforcement function involves tasks designed to assure that licensees continue to practice competently after initial licensure. Specifically, boards administer continuing education requirements, process complaints, against licensed practitioners, conduct investigations, hold hearings and take disciplinary actions against incompetent or fraudulent practitioners. Disciplinary sanctions range from reprimands to license revocations. Boards are self-supporting agencies and receive no General Fund tax appropriation. They are funded entirely through fees assessed for licensing its professionals. The Boards under the Department of Professional Licensing are as follows:

- Board of Alcohol and Drug Counselors
- Board of Applied Behavior Analyst Licensing
- Board of Licensure for Professional Art Therapists
- Directory of Registered Athlete Agents
- Board of Licensure and Certification for Dietitians and Nutritionists
- Board of Licensure for Pastoral Counselors
- Board of Registration for Professional Geologists
- Board of Specialists in Hearing Instruments
- Board of Interpreters for the Deaf and Hard of Hearing
- Board of Licensure for Marriage and Family Therapists
- Board of Licensure for Massage Therapy
- Board of Licensure for Long-Term Care Administrators
- Board of Licensure for Occupational Therapy
- Board of Ophthalmic Dispensers
- Board of Licensure for Private Investigators
- Board of Licensed Professional Counselors
- Board of Prosthetics, Orthotics, and Pedorthics
- Board of Examiners of Psychology
- Board of Speech-Language Pathology & Audiology

- Board of Licensed Diabetes Educators
- Registry for Secondary Metals Recyclers
- Board of Durable Medical Equipment Suppliers
- Board of Podiatry
- Board of Chiropractic Examiners
- Real Estate Authority

RECORDS RETENTION SCHEDULE

Signature Page

Department of Professional Licensing
Agency

September 12, 2019
Schedule Date


Unit

February 4, 2020
Change Date
February 4, 2020

Date Approved By Commission

APPROVALS

The undersigned approve of the following Records Retention Schedule or Change:


Agency Head

2-3-2020
Date of Approval


Agency Records Officer

2/3/2020
Date of Approval

State Archivist and Records Administrator
Director, Archives and Records Management Division

Date of Approval


Chairman, State Libraries, Archives, and
Records Commission

FEB - 4 2020
Date of Approval

The undersigned Archives and Records Management Division staff have examined the record items and recommend the disposition as shown:


Records Analyst/Regional Administrator

February 4, 2020
Date of Approval


Appraisal Archivist

2/4/2020
Date of Approval


State/Local Records Branch Manager

2-5-20
Date of Approval

The determination as set forth meets with my approval.


Auditor of Public Accounts

2/4/2020
Date of Approval

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Public Protection Cabinet
Professional Licensing, Department of
Alcohol and Drug Counselors, Board of Certification of

Record Group
Number
0118

Series	Records Title and Description	Function and Use
05568	License Folder - Certified Alcohol and Drug Counselors	This series documents activities related to issuing and regulating licenses for certified alcohol and drug counselors pursuant to KRS 309.083. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05569	Renewal Folder	This series documents license renewals for certified alcohol and drug counselors pursuant to KRS 309.085.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for four (4) years, then destroy.
05570	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain application and approval for four (4) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.
05571	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 309.086.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Alcohol and Drug Counselors, Board of Certification of

**Record Group
Number
0118**

Series	Records Title and Description	Function and Use
06333	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Applied Behavior Analysis Licensing, Board of

**Record Group
Number
0170**

Series	Records Title and Description	Function and Use
06286	License Folder - Behavior Analyst	This series documents activities related to issuing and regulating licenses for behavior analysts and assistant behavior analysts pursuant to KRS 319C.080. As defined by KRS 319C.010, applied behavior analysis means the design, implementation and evaluation of environmental modifications, using behavioral stimuli and consequences, to produce socially significant improvement in human behavior, including the use of direct observation, measurement and functional analysis of the relationship between environment and behavior. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, credentials from national association, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
06287	Renewal Folder	This series documents license renewals for behavior analysts pursuant to KRS 319C.080.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06288	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, credentials, examination scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06289	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 319C.00.
	Access Restrictions	KRS 61.878(1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

STATE AGENCY RECORDS
RETENTION SCHEDULE

Public Protection Cabinet
Professional Licensing, Department of
Art Therapists, Board of Licensure for Professional

Record Group
Number
0175

Series	Records Title and Description	Function and Use
05609	License Folder - Certified Professional Art Therapists	This series documents activities related to issuing and regulating licenses for professional art therapists pursuant to KRS 309.133. As defined by KRS 309.130, the practice of professional art therapy is the integrated use of psychotherapeutic principles, visual art media and the creative process in the assessment, treatment and remediation of psychosocial, emotional, cognitive, physical and developmental disorders in children, adolescents, adults, families and groups. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, Art Therapy Credentials Board Certification Examination application (CPAT-01) and scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05610	Renewal Folder	This series documents license renewals for professional art therapists pursuant to KRS 309.1335.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.
05611	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 309.137.
	Access Restrictions	KRS 61.878(1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.
05612	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, Art Therapy Credentials Board Certification Examination (CPAT) scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Athlete Agents, Directory of Registered

**Record Group
Number
0193**

Series	Records Title and Description	Function and Use
06290	Registration Folder - Athlete Agents	This series documents activities related to issuing and regulating certificates of registration for athlete agents pursuant to KRS 164.6907. As defined by KRS 164.6903, an athlete agent, means an individual who enters into an agency contract with a student-athlete or, directly or indirectly, recruits or solicits a student-athlete to enter into an agency contract. The term includes an individual who represents to the public that the individual is an athlete agent. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application with related documentation.
	Retention and Disposition	Retain for ten (10) years from the certification termination, then destroy.
06291	Renewal Folder	This series documents registration renewals for athlete agents pursuant to KRS 164.6911.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06292	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for registration. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application and related documents.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06293	Complaints Folder	This series documents complaints against registrants and any subsequent investigations and actions taken by the board pursuant to KRS 164.6913.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
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Public Protection Cabinet
Professional Licensing, Department of
Chiropractic Examiners, Board of

**Record Group
Number
0500**

Series	Records Title and Description	Function and Use
01196	Master Folder of Chiropractic Examiners (V)	This series documents that a person has met all the requirements to receive a license to practice chiropractics in the Commonwealth of Kentucky pursuant to KRS 312.
	Access Restrictions	KRS 61.878 (1)(a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: the license application, address, date of birth, Social Security number, educational certification, correspondence, photographs, prior clinical practice, satisfactory evidence of good character and reputation, complaints, disciplinary action, administrative hearing documentation, license revocation, license restoration, and license renewals.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05731	License Renewal Applications	This series documents license renewals by licensed chiropractors. Pursuant to KRS Chapter 312 and 201 KAR 21:041 Sections 1 and 2, each chiropractor licensed to perform chiropractic practice in the Commonwealth of Kentucky is required to renew his/her license on or before March 1 each year. The license renewal procedure requires an application be completed and signed by the requesting individual.
	Access Restrictions	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: the name of the requesting individual, address, phone number, date of birth, Social Security number, general information on reprimands and sanctions, affidavit, and photograph.
	Retention and Disposition	Retain for two (2) years, then destroy.
05732	Peer Review Files and Findings	This series documents requests for peer review of licensed chiropractors and the results. Pursuant to KRS 312.200 and 201 KAR 21:075, the Board of Chiropractic Examiners appoints a peer review committee to review cases. The committee is not to exceed five (5) licensed doctors of chiropractic medicine, who may not be in direct business relationship with the provider, insurer, or patient. Peer review is at the request of a patient, the patient's representative, insurer, or chiropractor inquiring about a treatment rendered to a patient by a chiropractor. Each inquiry is examined by the Peer Review Committee and a determination made as to whether the chiropractor properly utilized services and rendered or ordered appropriate treatment or services and whether or not the cost of the treatment was unconscionable. The Peer Review Committee provides the findings to the Board and provides copies to the patient, chiropractor, and third-party payer.
	Access Restrictions	HIPPA and KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: patient records, review requests, carrier records, and findings.
	Retention and Disposition	Retain in Agency three (3) years after resolution of case, then destroy.
05781	Historic Examination Materials	CLOSED SERIES: This series is closed because records are no longer created. This series documents a historic collection of resources, references, and examinations that were used to develop the state competency examinations in chiropractic medicine. This examination material has now been replaced with the National Board of Chiropractic Examiners Examination Part 4. Pursuant to KRS 312.115, examination for a license to practice chiropractic medicine shall be made by the Board of Chiropractic Examiners according to the method deemed by it to be the most practicable and expeditious to the test the applicants' qualifications.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Copy of Examination; a list of practical clinic demonstrations to be performed or scenario questions to be answered successfully by applicant; dates and locations of examination; examination preparers; proctors; transcripts of scores; individual tests.
	Retention and Disposition	Retain in Agency permanently.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Chiropractic Examiners, Board of

**Record Group
Number
0500**

Series	Records Title and Description	Function and Use
05782	Examination Failure File	<p>CLOSED: This series is closed because it is no longer created or maintained by the agency. This series documents applicants who failed to meet standards during testing procedures. Pursuant to KRS 312.115, applicants applying for a chiropractic license to practice in the Commonwealth of Kentucky must pass the written test including questions of essay and/or objective type to measure an applicant's knowledge of subjects of anatomy, physiology, pathology, neurology, histology, hygiene, bacteriology, chemistry, chiropractic orthopedics diagnosis, the use and effect of X-ray and chiropractic principles and practices. 201 KAR 21:070 sets forth examination standards, including but not limited to, holding a National Board of Chiropractic Examiners Certificate of Attainment which indicates that the applicant has passed the examination, Parts 1 and 2, with a score of three hundred seventy five (375) or the recommended passing score of the National Board of Chiropractic Examiners, whichever is greater. The State of Kentucky's requirement for successful passage shall be a score of seventy-five percent (75%) or greater on the test and demonstrated a practical demonstration of clinical competency that has been evaluated by the Board of Chiropractic Examiners.</p> <p>Access Restrictions KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: the license application, address, date of birth, Social Security number, educational certification, correspondence, photographs, prior clinical practice, if applicable, satisfactory evidence of good character and reputation, date and address of examination location, score of examination.</p> <p>Retention and Disposition Retain in Agency two (2) years from date of examination; destroy.</p>
05783	Incomplete Application File	<p>This series documents incomplete applications for license to practice chiropractic medicine in the Commonwealth of Kentucky and correspondence related to obtaining the additional required information. Pursuant to KRS 312.115, applicants applying for a chiropractic license to practice in the Commonwealth of Kentucky must pass the written test including questions of essay and/or objective type to measure an applicant's knowledge of subjects of anatomy, physiology, pathology, neurology, histology, hygiene, bacteriology, chemistry, chiropractic orthopedics diagnosis, the use and effect of X-ray and chiropractic principles and practices. 201 KAR 21:070 sets forth examination standards, including but not limited to, holding a National Board of Chiropractic Examiners Certificate of Attainment which indicates that the applicant has passed the examination, Parts 1 and 2, with a score of three hundred seventy five (375) or the recommended passing score of the National Board of Chiropractic Examiners, whichever is greater. The State of Kentucky's requirement for successful passage shall be a score of seventy-five percent (75%) or greater on the test and demonstrated a practical demonstration of clinical competency that has been evaluated by the Board of Chiropractic Examiners.</p> <p>Access Restrictions KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: License application, address, date of birth, Social Security number, educational certification, correspondence, photographs, prior clinical practice, if applicable, satisfactory evidence of good character and reputation, date and address of examination location and correspondence.</p> <p>Retention and Disposition Retain in Agency one (1) year from receipt of application; destroy.</p>
05784	Continuing Education -- Provider Application Folder	<p>This series documents requests for approval of continuing education for chiropractors in the Commonwealth of Kentucky. Pursuant to KRS Chapter 312 each chiropractor licensed to perform in the Commonwealth of Kentucky shall renew his/her license on or before March 1 each year and shall meet the continuing education requirements set forth in 201 KAR 21:041 Section 3 Subsections 2, 3, 4 and 5. Chiropractors shall complete a minimum of twelve (12) hours of continuing education over a period of two (2) days and the Kentucky Board of Chiropractic Examiners shall review and approve or disapprove the educational program requested by the applicant. Independent chiropractic educational programs at universities and colleges also submit requests for approval of their continuing educational program.</p> <p>Access Restrictions Agencies should consult legal counsel regarding open records matters.</p> <p>Contents Series may contain: Name of course, sponsoring organization, objective of the program, number of hours the educational program will be presented and dates presented; names of speakers, instructors and their qualifications and/or educational background, name and address of institution, date of approval by the Board of Chiropractic Examiners, name and address of person certified to attend, and name of Commissioner Board member or person designated by the Commission that may attend to monitor course.</p> <p>Retention and Disposition Retain application and approval for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.</p>

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Chiropractic Examiners, Board of

**Record Group
Number
0500**

Series	Records Title and Description	Function and Use
05793	Incomplete Examinations	CLOSED: This series is closed because the records are no longer created or maintained by the agency. This series documents incomplete applications for examination and correspondence related to obtaining the additional required information. Pursuant to KRS 312.115, applicants applying for a chiropractic license to practice in the Commonwealth of Kentucky must pass the written test including questions of essay and/or objective type to measure an applicant's knowledge of subjects of anatomy, physiology, pathology, neurology, histology, hygiene, bacteriology, chemistry, chiropractic orthopedics diagnosis, the use and effect of X-ray and chiropractic principles and practices. 201 KAR 21:070 sets forth examination standards, including but not limited to, holding a National Board of Chiropractic Examiners Certificate of Attainment which indicates that the applicant has passed the examination.
	Access Restrictions	KRS 61.878 (1) (a). Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: License application, address, date of birth, Social Security number, educational certification, correspondence, photographs, prior clinical practice, if applicable, satisfactory evidence of good character and reputation, date and address of examination location and correspondence.
	Retention and Disposition	Retain in agency; destroy one year from date of scheduled examination date.
06825	Complaints and Investigations Folders	This series documents complaints filed with the Board of Chiropractic Examiners alleging a chiropractor has violated provisions of KRS Chapter 312 and the investigations thereof. A written complaint must be sent to the Board and assigned a case number. A copy of the complaint is sent to the licensed chiropractor to allow them an opportunity to respond. The Board will investigate the complaint and take appropriate action, which may be dismissal of the matter, informal resolution, or formal charges.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: written complaint, transcripts or reports of interviews, correspondence, patient information, patient medical history, patient diagnosis, patient treatment, chiropractor information (name, address), authorization for release of medical and chiropractic records, supporting documentation, testimony, and agreed order.
	Retention and Disposition	After case closure, destroy patient medical records. Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

Electronic System With Included Records Series

Public Protection Cabinet *Professional Licensing, Department of* **Chiropractic Examiners, Board of**

System Description: The Board of Chiropractic Examiners is an independent, self-funded agency whose purpose is to protect the public by administering and enforcing the statutes and regulations concerning the practice of chiropractic. This system is used to grant licenses to qualified chiropractors so they may practice chiropractic medicine in Kentucky. The Board's other responsibilities include annual license renewal, monitoring continuing education requirements, handling complaints against chiropractors, and verifying the status of licenses chiropractic offices.

System Contents: Contents include license information: name, contact information, social security number, education credentials; date license issued; license renewal information; continuing education; disciplinary information; and license status.

Gen. Schedule Items:

System Title: **Kentucky Board of Chiropractic Examiners Database** Alternate Title:

Series #	Series Title:	Disposition Instructions:
05731	License Renewal Applications	Retain for two (2) years, then destroy. Destroy
05732	Peer Review Files and Findings	Retain in Agency three (3) years after resolution of case, then destroy. Destroy
05783	Incomplete Application File	Retain in Agency one (1) year from receipt of application; destroy. Destroy
05784	Continuing Education -- Provider Application Folder	Retain application and approval for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Diabetes Educators, Board of Licensed

**Record Group
Number
0723**

Series	Records Title and Description	Function and Use
06313	License Folder - Diabetes Educators	This series documents activities related to issuing and regulating licenses for diabetes educators pursuant to KRS 309.335. As defined by KRS 309.325, licensed diabetes educator means a health care professional who has met board requirements and who focuses on training or educating people with or at risk for diabetes and related conditions to change their behavior to achieve better clinical outcomes and improved health status. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
06314	Renewal Folder	This series documents license renewals pursuant to KRS 309.335.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06315	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06316	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 309.339.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Diabetes Educators, Board of Licensed

**Record Group
Number
0723**

Series	Records Title and Description	Function and Use
06317	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain application and approval for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Dietitians and Nutritionists, Board of Licensure and Certification for

**Record Group
Number
0732**

Series	Records Title and Description	Function and Use
05578	License Folder - Dietitians and Nutritionists	This series documents activities related to issuing and regulating licenses and certifications for dietitians and nutritionists pursuant to KRS 310.021 and 310.031. As defined by KRS 310.005, the practice of dietetics or nutrition means the integration and application of scientific principles of food, nutrition, biochemistry, physiology and management and the behavioral and social sciences in achieving and maintaining the health of people through the life cycle and in the treatment of disease. Methods of practice shall include, but are not limited to, nutrition assessments; development, implementation, management and evaluation of nutrition care plans; nutrition counseling and education; and the development and administration of nutrition care standards and systems. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, current registration card, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05580	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure and certification. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
05581	Renewal Folder	This series documents license and certification renewals for dieticians and nutritionists pursuant to KRS 310.050.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
05582	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Dietitians and Nutritionists, Board of Licensure and Certification for

**Record Group
Number
0732**

Series	Records Title and Description	Function and Use
05583	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 310.042.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Durable Medical Equipment Suppliers, Board of

**Record Group
Number
1787**

Series	Records Title and Description	Function and Use
06961	License Folder - Durable Medical Equipment Suppliers	This series documents activities related to issuing and regulating licenses for durable medical equipment suppliers pursuant to KRS 309.412 - 416.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcripts and/or copies of diplomas, letters of verification from other states, resumes, letters of good standing, and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
06962	Renewal Folder	This series documents license renewals pursuant to KRS 309-416.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.
06963	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied, and/or withdrawn application for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verification from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06964	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 309.418.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure~ and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Geologists, Board of Registration for Professional

**Record Group
Number
1152**

Series	Records Title and Description	Function and Use
05618	License Folder - Registered Professional Geologists	This series documents activities related to issuing and regulating licenses for professional geologists and geologists-in-training pursuant to KRS 322A.040 and KRS 322A.045. As defined by KRS 322A.010, Geologist means a person who is qualified by reason of his knowledge of the principles of geology, acquired by professional education and practical experience, to engage in the public practice of geology. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, official college transcript, letters of verifications from other states, documentation of work experience, work reference documentation letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05620	Renewal Folder	This series documents license renewals for professional geologists and geologists-in-training pursuant to KRS 322A.060.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, letters of verification, and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
05621	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 322A.100.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.
05622	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, official college transcript, letters of verifications from other states, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

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Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Hearing Instruments, Board of Specialists in

**Record Group
Number
1330**

Series	Records Title and Description	Function and Use
00495	License Folder - Hearing Aid Dealers and Trainees	This series documents activities related to issuing and regulating licenses for hearing aid dealers and trainees pursuant to KRS 334.020 and 334.050. As defined by KRS 334, the practice of fitting hearing instruments means the measurement of human hearing by means of an audiometer for the purpose of making selections, adaption and adjustments of hearing instruments. The term also includes the making of ear mold impressions and custom earmolds. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Original application, examination results and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
06295	Renewal Folder	This series documents license renewals for hearing aid dealers and trainees pursuant to KRS 334.110.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, certificate of calibration for audiometric equipment, delivery statement, sales contract, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06296	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series contains: Original application, examination results and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06297	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 334.120.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Interpreters for the Deaf and Hard of Hearing, Board of

**Record Group
Number
0673**

Series	Records Title and Description	Function and Use
05584	License Folder - Interpreter for the Deaf and Hard of Hearing	This series documents activities related to issuing and regulating licenses for interpreters for the deaf and hard of hearing pursuant to KRS 309.301 and 309.312. As defined by KRS 309.300, interpreting means the translating or transliterating of English concepts to any necessary specialized vocabulary used by a consumer or the translating of a consumer's specialized vocabulary to English concepts. Necessary specialized vocabularies include, but are not limited to, American Sign Language, English-based sign language, cued speech and oral interpreting. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05586	Renewal Folder	This series documents license renewals for interpreters for the deaf and hard of hearing pursuant to KRS 309.314.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
05588	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.
05589	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 309.316.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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Public Protection Cabinet
Professional Licensing, Department of
Interpreters for the Deaf and Hard of Hearing, Board of

**Record Group
Number
0673**

Series	Records Title and Description	Function and Use
06334	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

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Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Long-Term Care Administrators, Board of Licensure for

**Record Group
Number
1940**

Series	Records Title and Description	Function and Use
00499	License Folder - Nursing Home Administrators	This series documents activities related to issuing and regulating licenses and temporary permits for nursing home administrators pursuant to KRS 216A.030, KRS 216A.070 and 201 KAR 6:030. As defined by KRS 216A. 010, nursing home administrator means any individual responsible for planning, organizing, directing and controlling the operation of a nursing home or who in fact performs such functions, whether or not such functions are shared by one or more other persons. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
00502	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06305	Renewal Folder	This series documents license renewals for nursing home administrators pursuant to KRS 216A.090.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06306	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 216A.150.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Long-Term Care Administrators, Board of Licensure for

**Record Group
Number
1940**

Series	Records Title and Description	Function and Use
06307	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Marriage and Family Therapists, Board of Licensure for

**Record Group
Number
1052**

Series	Records Title and Description	Function and Use
05590	License Folder - Marriage and Family Therapist	This series documents activities related to issuing and regulating licenses for marriage and family therapists and marriage and family therapist associates pursuant to KRS 335.330 and KRS 335.332. As defined by KRS 335.300, the practice of marriage and family therapy means the identification and treatment of cognitive, affective and behavioral conditions related to marital and family dysfunctions that involve the professional application of psychotherapeutic and systems theories and techniques in the delivery of services to individuals, couples and families. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05592	Renewal Folder	This series documents license renewals pursuant to KRS 335.340.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
05593	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.
05594	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 335.348.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Marriage and Family Therapists, Board of Licensure for

**Record Group
Number
1052**

Series	Records Title and Description	Function and Use
06327	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
RETENTION SCHEDULE**

Public Protection Cabinet
Professional Licensing, Department of
Massage Therapy, Board of Licensure for

**Record Group
Number
1796**

Series	Records Title and Description	Function and Use
05547	License Folder - Massage Therapist	This series documents activities related to issuing and regulating licenses for massage therapists pursuant to KRS 309.358. As defined by KRS 309.350, Massage therapist means a person who is licensed by the board to administer massage or massage therapy to the public for compensation. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05548	Renewal Folder	This series documents license renewals for massage therapists pursuant to KRS 309.361.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.
05549	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for three (3) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.
05550	Programs of Instruction Approval Folder	This series documents the approval process for an individual, institution or business entity interested in offering a program of instruction in massage therapy pursuant to KRS 309.363.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application form, proof of approval by the Kentucky Board of Proprietary Education, curriculum statements, listing of instructional staff and related documentation.
	Retention and Disposition	Retain for fifty (50) years from the date of approval, then destroy.

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Public Protection Cabinet
Professional Licensing, Department of
Massage Therapy, Board of Licensure for

Record Group
Number
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Series	Records Title and Description	Function and Use
05551	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
05552	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 309.362.
	Access Restrictions	KRS 61.878(1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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Public Protection Cabinet
Professional Licensing, Department of
Occupational Therapy, Board of Licensure for

**Record Group
Number
1965**

Series	Records Title and Description	Function and Use
05553	License Folder - Occupational Therapists	This series documents activities related to issuing and regulating licenses for occupational therapists and occupational therapy assistants pursuant to KRS 319A.00. As defined by KRS 319A. 010, the practice of occupational therapy means the therapeutic use of purposeful and meaningful occupations (goal-directed activities) to evaluate and treat individuals who have a disease or disorder, impairment, activity limitation, or participation restriction that interferes with their ability to function independently in daily life roles and to promote health and wellness. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05556	Renewal Folder	This series documents license renewals for occupational therapists and occupational therapist assistants pursuant to KRS 319A.160.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.
05557	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for three (3) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.
05558	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 319A.00.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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Professional Licensing, Department of
Occupational Therapy, Board of Licensure for

**Record Group
Number
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Series	Records Title and Description	Function and Use
06332	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

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Public Protection Cabinet
Professional Licensing, Department of
Ophthalmic Dispensers, Board of

**Record Group
Number
2000**

Series	Records Title and Description	Function and Use
05595	License Folder - Ophthalmic Dispensers	This series documents activities related to issuing and regulating licenses for ophthalmic dispensers and ophthalmic dispenser apprentices pursuant to KRS 326.00. As defined by KRS 326.010, ophthalmic dispensing means that a person prepares and dispenses lenses, spectacles, eyeglasses or appurtenances thereto to the intended wearers on written prescriptions from licensed physicians, osteopaths or optometrists and in accordance with these prescriptions, interprets, measures, adapts, fits, and adjusts the lenses, spectacles, eyeglasses or appurtenances thereto to the human face for the aid or correction of visual or ocular anomalies of the human eyes. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, letters of good standing/verification, American Board of Opticianry/National Contact Lens Examiners certificates, copies of out-of-state licenses, reinstatement applications, exam applications and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05597	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, letters of good standing/verification, American Board of Opticianry/National Contact Lens Examiners certificates, copies of out-of-state licenses, reinstatement applications, exam applications and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
05598	Renewal Folder	This series documents license renewals for ophthalmic dispensers and apprentice ophthalmic dispensers pursuant to KRS 326.080.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
05599	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements pursuant to KRS 326.080.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, brochures, course catalogs, school publications, certificates and related documentation.
	Retention and Disposition	Retain for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

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Professional Licensing, Department of
Ophthalmic Dispensers, Board of

**Record Group
Number
2000**

Series	Records Title and Description	Function and Use
05600	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 326.00.
	Access Restrictions	KRS 61.878(1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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Professional Licensing, Department of
Pastoral Counselors, Board of Licensure for

**Record Group
Number
2053**

Series	Records Title and Description	Function and Use
06318	License Folder - Pastoral Counselors	This series documents activities related to issuing and regulating licenses for fee-based pastoral counselors pursuant to KRS 335.620. As defined by KRS fee-based pastoral counseling means the practice of pastoral counseling at an advanced level, equivalent to the standards of practice set by the American Association of Pastoral Counselors for the "fellow" level, that involves integrating spiritual resources with insights from the behavioral sciences, in exchange for a fee or other compensation. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related do
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
06319	Renewal Folder	This series documents license renewals pursuant to KRS 335.625.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for four (4) years, then destroy.
06320	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06321	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 335.635.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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**Record Group
Number
2053**

Series	Records Title and Description	Function and Use
06322	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for four (4) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

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Professional Licensing, Department of
Podiatry, Board of

**Record Group
Number
2120**

Series	Records Title and Description	Function and Use
01373	Master Folder - Podiatrists (V)	This series documents that the established requirements of the Board of Podiatry Licensure have been met and that physicians practicing as a podiatrist have been properly licensed per KRS 311.380 through KRS 311.500.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: License Application including address, phone number, Social Security Number, and date of birth; Educational Certification; Graduation date from medical school; Examination Score; License Number and Issue date; Expiration Date of License; Status of license (Active or Inactive); Continuing education credits, including the completion of HIV/AIDS class; County of practice and business name; Complaints, investigations, and if applicable, disciplinary action; and related correspondence
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
01374	License Renewal File (V)	This series documents the annual license renewal for the practice of podiatry per the requirements of KRS 311.450 and 201 KAR 25:021. The Board of Podiatry (the Board) sends notices to all licensed podiatrists in the Commonwealth of Kentucky on or before June 1 of each year advising the annual license fee is due on July 1 of each year. Delinquent penalties may be assessed, in addition to the annual renewal fee, if not submitted by the due date. Podiatrists are required for renewals to complete a HIV/AIDS class once every ten (10) years or more frequently at the discretion of the Board and this record is also retained in the Master Folder, series 01373.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, license number, phone number, Social Security Number; amount of renewal fee and amount paid; HIV/AIDS course completion date; and correspondence
	Retention and Disposition	Retain for two (2) years, then destroy.
01376	Podiatrists Mailing List	This series represents an electronic listing of all podiatrists licensed to practice podiatric medicine and registered with the Commonwealth of Kentucky Board of Podiatry.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Name, address, phone number, license number, date license issued and date of expiration, disciplinary actions (if applicable), county of practice, business name, status of license (active or expired), graduation date.
	Retention and Disposition	Retain in Agency permanently.
06461	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for a license to practice podiatry in the Commonwealth of Kentucky. An incomplete application may also include failure to submit the requirement documentation per KRS 311.380 through KRS 311.500 or failure to submit the license fee at time of submission of initial application. Denial Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878 (1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original license application including; Educational Certification; Graduation date from medical school; Examination Score; County of practice and business name; and related correspondence.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

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Public Protection Cabinet
Professional Licensing, Department of
Podiatry, Board of

**Record Group
Number
2120**

Series	Records Title and Description	Function and Use
06462	Investigative File - No Action Required	This series documents the decision of the Board's inquiry/hearing panel that there is insufficient cause to impose disciplinary action on a licensee. The minutes of the Board reflect that no action was taken against the physician. In such cases, no information is reported to the Federation of State Medical Boards or the National Practitioner Data Bank.
	Access Restrictions	KRS 61.878 (1)(a) - personal/medical information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Investigative information; correspondence to grievant and physician; minutes of inquiry/hearing panel
	Retention and Disposition	Retain in Agency five (5) years after case closure, then destroy.

Electronic System With Included Records Series

General Government Cabinet

Board of Podiatry

System Description: The Board of Podiatry is an independent self-funded agency whose purpose is to protect the public by administering and enforcing the statutes and regulations concerning the practice of Podiatry. It does this by granting licenses to qualified podiatrists so they may practice podiatric medicine in Kentucky. The Board's other responsibilities include annual license renewal, monitoring continuing medical education requirements, handling complaints against podiatrists, and verifying the status of licenses for hospitals, insurance companies and credentialing agencies.

This system allows licensed podiatrists to renew their licenses online. Applicants must also provide current contact information and payment information for licensing fees. Applicants log into the system using their license number and last four digits of their social security number.

System Contents: Licensee contact information: name, address, phone number, email address; license status; personal history information related to podiatry services.

General Schedule Items:

System Title: **Kentucky Board of Podiatry Online Renewal System**

Alternate Title:

Series #: ***Series Title:***

Disposition Instructions:

01374 License Renewal File

Retain in Agency five (5) years after renewal date and audit, then destroy.

Electronic System With Included Records Series

General Government Cabinet

Board of Podiatry

System Description: The Board of Podiatry is an independent self-funded agency whose purpose is to protect the public by administering and enforcing the statutes and regulations concerning the practice of Podiatry. It does this by granting licenses to qualified podiatrists so they may practice podiatric medicine in Kentucky. The Board's other responsibilities include annual license renewal, monitoring continuing medical education requirements, handling complaints against podiatrists, and verifying the status of licenses for hospitals, insurance companies and credentialing agencies.

This system contains information about licensees, continuing education, disciplinary actions, and applicant records used by staff to regulate podiatrists. An online interface allows the public to search for licensees by name. Search results include licensee contact information; license status; license issuance and expiration date; business name and address.

System Contents: Contents include license information: name, contact information, social security number, education credentials; date license issued; license renewal information; continuing education; disciplinary information; and license status.

General Schedule Items:

System Title: **Kentucky Board of Podiatry Database**

Alternate Title:

Series #: ***Series Title:***

Disposition Instructions:

01373 Master Folder - Podiatrists

Retain in Agency permanently.

01374 License Renewal File

Retain in Agency five (5) years after renewal date and audit, then destroy.

01376 Podiatrists Mailing List

Retain in Agency permanently.

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Professional Licensing, Department of
Private Investigators, Board of Licensure for

**Record Group
Number
2310**

Series	Records Title and Description	Function and Use
05602	License Folder - Private Investigator (Individuals)	This series documents activities related to issuing and regulating licenses for private investigators pursuant to KRS 329A.035. As defined by KRS 329A.010, Private investigating means the act of any individual or company engaging in the business of obtaining or furnishing information. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, background checks, test scores, letters of verifications from other states, proof of insurance, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05603	License Folder - Private Investigator (Companies)	This series documents activities related to issuing and regulating licenses for private investigating companies pursuant to KRS 329A.035. As defined by KRS 329A.010, an investigating company or company licensee means a company engaged in private investigating that is licensed under KRS 329A.010 to 329A.090. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, background checks, business license copies, proof of insurance, employee list, certificate of authority, and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05604	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
05605	Renewal Folder	This series documents license renewals for private investigators and private investigating companies pursuant to KRS 329A.045.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.

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**Record Group
Number
2310**

Series	Records Title and Description	Function and Use
05606	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for three (3) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.
05607	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 310.065.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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**Record Group
Number
0637**

Series	Records Title and Description	Function and Use
05613	License Folder - Professional Clinical Counselor	This series documents activities related to issuing and regulating licenses for professional clinical counselors and professional counselor associates pursuant to KRS 335.525. As defined by KRS 335.500, the practice of professional counseling means professional counseling services that involve the application of mental health counseling and developmental principles, methods and procedures, including assessment, evaluation, treatment planning, amelioration and remediation of adjustment problems and emotional disorders, to assist individuals or groups to achieve more effective personal, social, educational or career development and adjustment. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, National Counselor Examination for Licensure and Certification (NCE) scores and/or proof of National Board certification or proof of passing exam scores from another examination acceptable by the board, college transcript and/or copies of diplomas, letters of verification from other states, resumes, and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
05615	Renewal Folder	This series documents license renewals for professional clinical counselors and professional counselor associates pursuant to KRS 335.535.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
05616	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.
05617	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 335.00.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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0637**

Series	Records Title and Description	Function and Use
06298	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

STATE LIBRARIES, ARCHIVES, AND RECORDS COMMISSION

Archives and Records Management Division

Kentucky Department for Libraries and Archives

**STATE AGENCY RECORDS
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Public Protection Cabinet
Professional Licensing, Department of
Prosthetics, Orthotics and Pedorthics, Board of

**Record Group
Number
2336**

Series	Records Title and Description	Function and Use
06308	License Folder - Prosthetist, Orthotist and Pedorthist	This series documents activities related to issuing and regulating licenses for prosthetists, orthotists and pedorthists pursuant to KRS 319B.110. As defined by KRS 319B.010, pedorthist means a person who measures, designs, fabricates, fits or services pedorthic devices and assists in the formulation of the order of pedorthic devices, as ordered by a licensed health care practitioner or provider authorized by law to issue such an order for the support or correction of disabilities caused by neuromuscular or musculoskeletal dysfunction, disease, injury or deformity. Orthotist means a person who is specifically trained and educated to provide or manage the provision of a custom-designed, fabricated, modified and fitted external orthosis to an orthotic patient, based on a clinical assessment and a prescription from a health care practitioner or provider authorized by law to write such prescriptions, to restore physiological function or cosmesis. Pedorthist means a person who measures, designs, fabricates, fits or services pedorthic devices and assists in the formulation of the order of pedorthic devices, as ordered by a licensed health care practitioner or provider authorized by law to issue such an order for the support or correction of disabilities caused by neuromuscular or musculoskeletal dysfunction, disease, injury or deformity. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
06309	Renewal Folder	This series documents license renewals pursuant to KRS 319B.120.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06310	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, photographs, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06311	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 319B.150.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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Public Protection Cabinet
Professional Licensing, Department of
Prosthetics, Orthotics and Pedorthics, Board of

**Record Group
Number
2336**

Series	Records Title and Description	Function and Use
06312	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for two (2) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

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Public Protection Cabinet
Professional Licensing, Department of
Psychology, Board of Examiners of

**Record Group
Number
2340**

Series	Records Title and Description	Function and Use
00480	License Folder - Psychologists	This series documents activities related to issuing and regulating licenses for certified psychologists, licensed psychological associates and licensed psychological practitioners pursuant to KRS 319.053, 319.056 and 319.064. As defined by KRS 319.010, the practice of psychology means rendering to individuals, groups, organizations or the public any psychological service involving the application of principles, methods, and procedures of understanding, predicting and influencing behavior, such as the principles pertaining to learning, perception, motivation, thinking, emotions and interpersonal relationships. The application of said principles in testing, evaluation, treatment, use of psychotherapeutic techniques and other methods includes, but is not limited to: diagnosis, prevention and amelioration of adjustment problems and emotional, mental, nervous and addictive disorders and mental health conditions of individuals and groups; educational and vocational counseling; the evaluation and planning for effective work and learning situations; and the resolution of interpersonal and social conflicts. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, course documentation, photographs, test scores, official college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing, documentation of supervised experience, reference letters and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
06328	Renewal Folder	This series documents license renewals for psychologists and psychological associates pursuant to KRS 319.071.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for four (4) years, then destroy.
06329	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application, course documentation, photographs, test scores, official college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing, documentation of supervised experience, reference letters and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.
06330	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 319.082.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.

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Public Protection Cabinet
Professional Licensing, Department of
Psychology, Board of Examiners of

**Record Group
Number
2340**

Series	Records Title and Description	Function and Use
06331	Continuing Education Provider Application Folder	This series documents pre-approval by the board for providers of continuing education training. These approved classes/workshops are taken by licensees to fulfill continuing education requirements.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application, agenda, curriculum vitae, course outline, certificates and related documentation.
	Retention and Disposition	Retain for four (4) years from the date of approval, then destroy. Supplemental materials submitted in support of an approved application, such as brochures, course catalogs and school publications, can be purged one (1) year from the date of approval.

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Public Protection Cabinet
Professional Licensing, Department of
Secondary Metals Recyclers, Registry for

Record Group
Number
2590

Series	Records Title and Description	Function and Use
06958	Registration Folder - Secondary Metals Recyclers	This series documents activates related to issuing and regulating certificates of registration for secondary metals recyclers pursuant to KRS 433.902.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Original application with related documentation.
	Retention and Disposition	Retain for ten (10) years from the certification termination, then destroy.
06959	Renewal Folder	This series documents registration renewals for secondary metals recyclers pursuant to KRS 433.902.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Renewal application and related documentation.
	Retention and Disposition	Retain for two (2) years, then destroy.
06960	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied, and/or withdrawn applications for registration. Denial letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Application and related documents.
	Retention and Disposition	Retain denial letters fifty (50) years, then destroy. If no denial letter is produced destroy remaining material after one (1) year.

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Public Protection Cabinet
Professional Licensing, Department of
Speech-Language Pathology and Audiology, Board of

**Record Group
Number
2640**

Series	Records Title and Description	Function and Use
00486	License Folder - Speech-Language Pathologists, Assistants and Audiologists	This series documents activities related to issuing and regulating licenses for speech-language pathologists, speech-language pathologist assistants and audiologists pursuant to KRS 334A.183 and KRS 334A.185. As defined by KRS 334A.020, the practice of speech pathology means the application of principles, methods and procedures for the measurement, testing, audiometric screening, identification, appraisal, determination of prognosis, evaluation, consultation, remediation, counseling, instruction, and research related to the development and disorders of speech, voice, verbal and written language, cognition/communication, or oral and pharyngeal sensori-motor competencies for the purpose of designing and implementing programs for the amelioration of these disorders and conditions. The practice of audiology means the application of principles, methods and procedures of measurement, testing, appraisal, prediction, consultation, counseling, and instruction related to hearing and disorders of hearing for the purpose of modifying communicative disorders involving speech, language, auditory behavior, or other aberrant behavior related to hearing loss; planning, directing, conducting, or participating in identification and hearing conservation programs; and habilitative and rehabilitative programs, including hearing aid recommendations and evaluation, auditory training, or speech reading. Speech-language pathology assistant means one who assists in the practice of speech-language pathology only under the supervision and direction of an appropriately qualified supervisor and only within the public school system in the Commonwealth. Termination of license may occur due to a lapse in renewal or through board action.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, letters of good standing and related documentation.
	Retention and Disposition	Retain for ten (10) years from the date of license termination, then destroy.
00490	Incomplete, Denied and Withdrawn Applications Folder	This series documents incomplete, denied and/or withdrawn applications for licensure. Letters are only produced in response to completed applications that are denied.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Original application, test scores, college transcript and/or copies of diplomas, letters of verifications from other states, resumes, renewal notices, letters of good standing and related documentation.
	Retention and Disposition	Retain denial letters fifty (50) years, destroy remaining material after one (1) year.
06325	Renewal Folder	This series documents license renewals pursuant to KRS 334A.170.
	Access Restrictions	KRS 61.878(1)(a) - Personal information. Agencies should consult legal counsel regarding open records matters..
	Contents	Series may contain: Renewal application, continuing education verification and related documentation.
	Retention and Disposition	Retain for three (3) years, then destroy.
06326	Complaints Folder	This series documents complaints against licensees and any subsequent investigations and actions taken by the board pursuant to KRS 334A.180.
	Access Restrictions	KRS 61.878 (1)(a)(h) Personal information / Investigations.. Agencies should consult legal counsel regarding open records matters.
	Contents	Series may contain: Complaint forms, responses, investigative reports, correspondence, legal actions, disciplinary actions, hearing notices, hearing transcripts, exhibits and related documentation.
	Retention and Disposition	Retain folders on disciplinary actions for fifty (50) years from the date of complaint closure and/or final action by Board, then destroy. Retain complaints dismissed by the Board for ten (10) years from date of dismissal, then destroy.